

Form PTO-1449 (modified)

List of Patents and Publications

For Applicant's Information

Disclosure Statement

(Use several sheets if necessary)

ATTY. DKT. NO. 5898-00100

APPLICANT: Henry et al.

FILING DATE: October 24, 2003

SERIAL NO. 10/693,654

CONF. NO.: 9661

ART UNIT: 3714

U.S. PATENT DOCUMENTS

| INITIALS | REF. DES | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE APPROPRIATE |
|----------|----------|-----------------|---------------|-----------------|-------|-----------|-------------------------|
| ✓ | | 4194733 | 3/25/1980 | Whitehouse, Jr. | | | |
| | | 6045449 | 4/4/2000 | Aragona et al. | | | |
| | | 4221170 | 9/9/1980 | Koudelka | | | |
| | | 1783268 | 12/2/1930 | Traver | | | |
| | | 6336771 | 01/08/2002 | Hill | | | |
| | | 6,475,095 | 11/05/2002 | Henry | | | |
| | | 3473334 | 08/21/1969 | Dexter | | | |
| | | RE43407 | October, 1993 | Frenzi | | | |
| | | 5219315 | 06/15/1993 | Fuller et al. | | | |
| | | 5011161 | 04/30/1991 | Galphin | | | |
| | | 5685778 | 11/11/1997 | Sheldon, et al. | | | |
| | | 6186902 | 02/13/2001 | Briggs | | | |
| | | 6,533,191 | 03/18/2003 | Berger et al. | | | |
| | | 6561914 | 05/13/2003 | Henry | | | |
| ✓ | | 6702687 | 03/09/2004 | Henry | | | |

FOREIGN PATENT DOCUMENTS

| EXAM. INITIALS | REF. DES | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB CLASS | TRANSLATION YES/NO |
|----------------|----------|-----------------|------------|---------|-------|-----------|--------------------|
| ✓ | E1 | 92/04087 | 3/19/1992 | WO | | | |
| | E2 | 97/33668 | 9/18/1997 | WO | | | |
| | E3 | 92/03201 | 3/5/1992 | WO | | | |
| | E4 | 02/22227 | 03/21/2002 | WO | | | |
| | E5 | 01/10184 | 2/15/2001 | WO | | | |
| ✓ | E6 | 02/22226 | 03/21/2002 | WO | | | |

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

| | | |
|--|--|--|
| | | |
| | | |

EXAMINER:

Kenneth G. ...

DATE CONSIDERED:

5/31/05

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

| | | |
|---|-------------------------------|-----------------------|
| Form PTO-1449 (modified) List of Patents and Publications For Applicant's Information Disclosure Statement (Use several sheets if necessary) | ATTY. DKT. NO. 5898-00100 | SERIAL NO. 10/693,654 |
| | APPLICANT: Henry et al. | CONF. NO.: 3907 |
| | FILING DATE: October 24, 2003 | ART UNIT: 3712 |

U.S. PATENT DOCUMENTS

| EXAM. INITIALS | REF. DES. | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE APPROPRIAT |
|-------------------|--------------|-----------------|------------|---------------|-------|--------------|---------------------------|
| <i>W</i> | | 583121 | 05/25/1897 | Pattee | | | |
| | | 741964 | 10/20/1903 | Harlan | | | |
| | | 774209 | 11/08/1904 | Stubbs | | | |
| | | 1124950 | 01/12/1915 | Reagen et al. | | | |
| | | 1893167 | 01/03/1933 | Glagolin | | | |
| | | 2484466 | 03/22/1946 | Rumler | | | |
| | | 2738885 | 03/20/1956 | Demaline | | | |
| | | 3456943 | 07/22/1969 | Brown | | | |
| | | 4960275 | 10/02/1990 | Magon | | | |
| | | 5820471 | 10/13/1998 | Briggs | | | |
| | | 485624 | 11/08/1892 | Gardner | | | |
| | | 4501434 | 02/26/1985 | Dupuis | | | |
| | | 4545574 | 10/08/1985 | Sassak | | | |
| <i>W</i> | | 5791254 | 08/11/1998 | Mares et al. | | | |
| | | | | | | | |
| | | | | | | | |

FOREIGN PATENT DOCUMENTS

| EXAM. INITIALS | REF. DES. | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB CLASS | TRANSLATIO Yes/No |
|-------------------|--------------|-----------------|------------|---|-------|--------------|----------------------|
| <i>W</i> | D1 | 129145 | 03/14/1902 | DE | | | YES |
| | D2 | 129145 | 03/14/1902 | English translation of German Patent No. 129145 (3 pages) | | | |
| | D3 | 893778 | 10/19/1953 | DE | | | YES |
| | D4 | 893778 | 10/19/1953 | English translation of German Patent No. 893778 (6 pages) | | | |
| <i>W</i> | D5 | 543055 | 12/15/1955 | BG | | | YES |

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent own

| | | | | | |
|---|-----|--|------------|--|--|
| Form PTO-1449 (modified) List of Patents and Publications For Applicant's Information Disclosure Statement (Use several sheets if necessary) | | ATTY. DKT. NO. 5898-00100 APPLICANT: Henry et al. FILING DATE: October 24, 2003 | | SERIAL NO. 10/693,654 CONF. NO.: 3907 ART UNIT: 3712 | |
| FOREIGN PATENT DOCUMENTS | | | | | |
| <i>LN</i> | D6 | 543055 | 12/15/1955 | English translation of Belgian Patent No. 543055 (12pages) | |
| OTHER ART | | | | | |
| <i>LN</i> | D7 | Rorres, C. "The Turn of the Screw: Optimal Design of an Archimedes Screw" <i>J. of Hydraulic Engineering</i> , Vol. 126, No. 1, pgs. 72-80. | | | |
| | D8 | Written Opinion regarding European Application No. 01 970 881.7 – 2307 (Atty. Dkt. No. 5049-13005) issued April 13, 2004. | | | |
| | D9 | International Search Report regarding PCT Application No. PCT/US01/28542 (Atty. Dkt. No. 50413002) issued March 27, 2002. | | | |
| | D10 | Written Opinion regarding PCT Application No. PCT/US01/28542 (Atty. Dkt. No. 5049-13002) issued May 2, 2002. | | | |
| | D11 | Written Opinion regarding PCT Application No. PCT/US01/28542 (Atty. Dkt. No. 5049-13002) issued August 5, 2002. | | | |
| | D12 | International Preliminary Examination Report regarding PCT Application No. PCT/US01/28542 (Atty. Dkt. No. 5049-13002) issued December 2, 2002. | | | |
| <i>LN</i> | D13 | Written Opinion regarding European Application No. 01 970 881.7 – 2307 (Atty. Dkt. No. 5049-13005) issued October 10, 2004. | | | |

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent own

Information Disclosure Statement--PTO 1449 (modified)